

JPW



Docket No.: K0050.0002/P002  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Ian H. Ratcliff et al.

Application No.: 10/591,338

Confirmation No.: 9507

Filed: August 31, 2006

Art Unit: 3748

For: EXHAUST FILTER REGENERATION  
REGIME METHOD AND APPARATUS

Examiner: Not Yet Assigned

**REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicants hereby request that a corrected Filing Receipt be issued in the above-identified patent application. The official Filing Receipt received by Applicants, a copy of which is attached hereto, has the following errors:

The Official Filing Receipt states 11 independent claims, but should be listed as **12**.

The third inventor's name is listed as Nigel S. Tester but should be listed as **Nigel Tester**.

The residence address of the fourth inventor, Marco Holt, is listed as West Sussex, and should be listed as **East Sussex**.

The residence address of the fifth inventor, Steve R. Noakes, is listed as West Sussex, and should be listed as **East Sussex**.

We are also enclosing a copy of the submitted Declaration and USPTO stamped postcard confirming aforementioned corrections.

Applicants additionally request that all pertinent U.S. Patent and Trademark Office records relating to the subject application be changed to reflect this correction.

Dated: October 26, 2007

Respectfully submitted,

By 

Thomas J. D'Amico

Registration No.: 28,371

DICKSTEIN SHAPIRO LLP

1825 Eye Street, NW

Washington, DC 20006-5403

(202) 420-2200

Attorney for Applicant



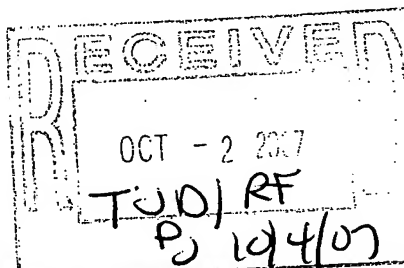
UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPL NO.	FILING OR 371(c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLMS	IND CLMS
10/591,338	08/02/2007	3748	3730	K0050.0002/P002	34	11-12

CONFIRMATION NO. 9507

24998  
 DICKSTEIN SHAPIRO LLP  
 1825 EYE STREET NW  
 Washington, DC 20006-5403



## FILING RECEIPT



\*OC000000026036306\*

Date Mailed: 09/28/2007

Receipt is acknowledged of this nonprovisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Ian H. Ratcliff, West Sussex, UNITED KINGDOM;  
 John S. Parker, Hampshire, UNITED KINGDOM;  
 Nigel S. Tester, West Sussex, UNITED KINGDOM;  
 Marco Holt, West Sussex, UNITED KINGDOM; - East  
 Steve R. Noakes, West Sussex, UNITED KINGDOM; East

**Power of Attorney:** The patent practitioners associated with Customer Number 24998.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/GB05/00998 03/16/2005

## Foreign Applications

UNITED KINGDOM 0405897.0 03/16/2004  
 UNITED KINGDOM 0426060.0 11/26/2004

If Required, Foreign Filing License Granted: 09/26/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/591,338**

Projected Publication Date: 01/03/2008

Non-Publication Request: No

**Early Publication Request:** No

**Title**

Exhaust Filter Regeneration Regime Method and Apparatus ✓

**Preliminary Class**

060

## PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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### LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The

date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

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No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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Inventor: Ian H. Ratcliff et al.

Atty Docket No.: K0050.0002/P002

Application No.: 10/591,338-Conf. #9507

Filing Date: August 31, 2006

Title: EXHAUST FILTER REGENERATION REGIME METHOD AND APPARATUS

**Documents Filed:**

Transmittal Letter to the United States  
Designated-Elected Office (3 pages)

Information Disclosure Statement (2 pages)  
IDS (Citation) by Applicant (1 page)  
Copy of IDS Reference (1 Reference)

Response to Notification of Missing  
Requirements (2 pages)

Copy of Missing Requirement (2 pages)

Oath or declaration of the inventor(s) (10 pages)

Payment by credit card. Form PTO-2038 is  
attached (1 page)  
Charge \$1,090.00 to credit card

Extension of Time Request (2 pages)

Recordation Form Cover Sheet (2 pages)

Assignment (16 pages)



Via:

Sender's Initials: TJD/RHF/djp

Date: August 2, 2007

B



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

EXHAUST FILTER REGENERATION REGIME METHOD AND APPARATUS

the specification of which was filed on March 16, 2005 as International Patent Application No. PCT/GB2005/000998.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to herein.

I acknowledge the duty to disclose all information known to me that is material to patentability in accordance with Title 37, Code of Federal Regulations, § 1.56.

FOREIGN PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

☐ no such foreign applications have been filed

☒ such foreign application have been filed as follows:

**EARLIEST FOREIGN APPLICATION(S), IF ANY FILED WITHIN 12 MONTHS  
(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION**

Application Number	Country	Date of Filing	Priority Claimed Under 35 USC 119
0405897.0	Great Britain	March 16, 2004	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
0426060.0	Great Britain	November 26, 2004	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

**ALL FOREIGN APPLICATION(S), IF ANY FILED MORE THAN 12 MONTHS  
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Application Number	Country	Date of Filing

**CLAIM FOR BENEFIT OF EARLIER U.S. PROVISIONAL APPLICATIONS**

I hereby claim priority benefits under Title 35, United States Code §119(e), of any United States provisional patent application(s) listed below:

☒ no such U.S. provisional applications have been filed.

☐ such U.S. provisional application have been filed as follows:

Application Number	Date of Filing	Priority Claimed Under 35 USC 119

**CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S)**

I hereby claim the benefit under Title 35, United States Code, §120 of the United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose all information that is material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56 which became available to me between the filing date of the prior application and the national or PCT international filing date of this application:



☒ no such U.S./PCT applications have been filed.

☐ such U.S./PCT application have been filed as follows:

Application Number	Relationship	Parent Application	Date of Filing

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint:

All practitioners at Customer Number 24998

all of Dickstein Shapiro LLP, 1825 Eye Street, NW, Washington, DC 20006-5403, jointly, and each of them severally, my attorneys at law/patent agent(s), with full power of substitution, delegation and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, and to transact all business in the U. S. Patent and Trademark Office connected therewith.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from RICARDO UK LIMITED as to any action to be taken in the United States Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent named herein will be so notified by the undersigned.

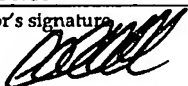
Please mail all correspondence to Thomas J. D'Amico, whose address is:

Dickstein Shapiro LLP  
1825 Eye Street, NW  
Washington, DC 20006-5403

Please direct telephone calls to: Thomas J. D'Amico at (202) 420-2232.

Please direct facsimiles to: (202) 420-2201

Full name of sole or first inventor <b>Ian H. Ratcliff</b>	
Sole or first inventor's signature	Date
Residence <b>West Sussex, United Kingdom</b>	
Citizenship <b>United Kingdom</b>	
Mailing Address <b>Pyroban Ltd, Endeavor Works, Dolphin Road, Shoreham-by-Sea West Sussex BN43 6QG WEST SUSSEX UNITED KINGDOM</b>	

Full name of second inventor, if any <b>John S. Parker</b>	
Second inventor's signature 	Date <b>16<sup>TH</sup> JUNE 2007</b>
Residence <del>West Sussex</del> <b>HAMPSHIRE</b> , United Kingdom	
Citizenship <b>United Kingdom</b>	
Mailing Address <b>Pyroban Ltd., Endeavor Works, Dolphin Road Shoreham-by-Sea WEST SUSSEX BN43 6QG; UNITED KINGDOM</b>	

Full name of third inventor, if any <b>Nigel S. Tester</b>	
Third inventor's signature	Date
Residence	
Citizenship <b>United Kingdom</b>	
Mailing Address <b>Pyroban Ltd., Endeavor Works, Dolphin Road Shoreham-by-Sea WEST SUSSEX BN43 6QG; UNITED KINGDOM</b>	

Full name of fourth inventor, if any <b>Marco Holt</b>	
Fourth inventor's signature	Date
Residence	
Citizenship <b>United Kingdom</b>	
Mailing Address <b>Pyroban Ltd, Endeavor Works, Dolphin Road, Shoreham-by-Sea West Sussex BN43 6QG WEST SUSSEX UNITED KINGDOM</b>	

Full name of fifth inventor, if any <b>Steve R. Noakes</b>	
Fifth inventor's signature	Date
Residence	
Citizenshi <b>United Kingdom</b>	
Mailing Address <b>Pyroban Ltd., Endeavor Works, Dolphin Road Shoreham-by-Sea WEST SUSSEX BN43 6QG; UNITED KINGDOM</b>	



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All practitioners at Customer Number 24998

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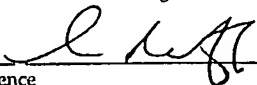
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Washington, DC 20006-5403

Please direct telephone calls to: Thomas J. D'Amico at (202) 420-2232.

Please direct facsimiles to: (202) 420-2201

Full name of sole or first inventor <b>Ian H. Ratcliff</b>	
Sole or first inventor's signature 	Date <b>22<sup>nd</sup> Feb 2007</b>
Residence <b>West Sussex, United Kingdom</b>	
Citizenship <b>United Kingdom</b>	
Mailing Address <b>Pyroban Ltd, Endeavor Works, Dolphin Road, Shoreham-by-Sea West Sussex BN43 6QG WEST SUSSEX UNITED KINGDOM</b>	

Full name of second inventor, if any <b>John S. Parker</b>	
Second inventor's signature	Date
Residence <b>West Sussex, United Kingdom</b>	
Citizenship <b>United Kingdom</b>	
Mailing Address <b>Pyroban Ltd., Endeavor Works, Dolphin Road Shoreham-by-Sea WEST SUSSEX BN43 6QG; UNITED KINGDOM</b>	

Full name of third inventor, if any <b>Nigel S. Tester</b>	
Third inventor's signature 	Date <b>23/2/07</b>
Residence	
Citizenship <b>United Kingdom</b>	
Mailing Address <b>Pyroban Ltd., Endeavor Works, Dolphin Road Shoreham-by-Sea WEST SUSSEX BN43 6QG; UNITED KINGDOM</b>	

Full name of fourth inventor, if any <b>Marco Holt</b>	
Fourth inventor's signature <i>Marco Holt</i>	Date <b>23/02/07</b>
Residence <b>East Sussex, UK.</b>	
Citizenship <b>United Kingdom</b>	
Mailing Address <b>Pyroban Ltd, Endeavor Works, Dolphin Road, Shoreham-by-Sea West Sussex BN43 6QG WEST SUSSEX UNITED KINGDOM</b>	

Full name of fifth inventor, if any <b>Steve R. Noakes</b>	
Fifth inventor's signature <i>S. Noakes.</i>	Date <b>23/02/2007</b>
Residence <b>EAST SUSSEX, UK</b>	
Citizenshi <b>United Kingdom</b>	
Mailing Address <b>Pyroban Ltd., Endeavor Works, Dolphin Road Shoreham-by-Sea WEST SUSSEX BN43 6QG; UNITED KINGDOM</b>	